	Application No.	Applicant(s)
Notice of Allowability	09/945,184	KNIGHT, TIMOTHY ORR
	Examiner	Art Unit
	Kirsten S. Apple	3693

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *8/20/07*.

2. ☒ The allowed claim(s) is/are *121-158*.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a) ☐ All   b) ☐ Some*   c) ☐ None   of the:

        1. ☐ Certified copies of the priority documents have been received.

        2. ☐ Certified copies of the priority documents have been received in Application No. _____ .

        3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

    * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.

    (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached

        1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____ .

    (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of

    Paper No./Mail Date _____ .

    Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)

2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____

4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

5. ☐ Notice of Informal Patent Application

6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .

7. ☒ Examiner's Amendment/Comment

8. ☒ Examiner's Statement of Reasons for Allowance

9. ☐ Other _____ .

DETAILED ACTION

This communication is in response to amendment filed 8/20/2007.

Restriction

Examiner has withdrawn the restriction requirement dated 5/18/2007.

Response to Amendment

The amendments include:

Amended claims: 121-124, 126-129, 132-138

Non-changed claims: 139-144, 147

Canceled claims from amendment: 125, 130-131, 145

Canceled claims without prejudice or disclaimer from interview with attorney: 135-138 and 146.

New claims: 148-158

Interview

The examiner had a phone interview with Attorney Margo Livesay on January 17, 2008. The follow was agreed:

Claims 121-124, 126-129, 132-134, 141, 148, 150, and 155 are amended in an examiners amendment and claims 135-138 and 146 are cancelled without prejudice or disclaimer, and Applicant reserves the right to pursue these claims in this application or related applications.

EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview and

subsequent email with Attorney Margo Livesay on January 17, 2008

Please amend claims as follows:

Claims 121-124, 126-129, 132-134, 141, 148, 150, and 155 are amended as

follows, claims 135-138 and 146 are cancelled without prejudice or disclaimer, and

Applicant reserves the right to pursue these claims in this application or related

applications:

1-120 (Canceled)

121. (Currently Amended) A computer program product An interface for handling

transaction information, the computer program product being tangibly embodied on a

computer-readable medium and including executable code that, when executed, causes

interface configured to cause a data processing apparatus to provide an interface,

    said interface being configured to receive:

        receive an identification of an item associated with a transaction;

        receive a placement of a first subjective information parameter along a

            range displayed within the user interface, the first subjective

            information parameter being associated with a first rationale for

            engaging in said transaction and including a first graphical element

            that is movable within the user interface and relative to the range;

        receive a placement of a second subjective information parameter along

            the range, the second subjective information parameter being

            associated with a second rationale for engaging in said transaction

            and including a second graphical element that is movable within

            the user interface and relative to the first graphical element and to

            the range; and

    said interface being further configured to store a transaction record that

            identifies the placement of the first subjective information

parameter along the range relative to the placement of the second

subjective information parameter along the range.

122. (Currently Amended) The computer program product interface of claim 121,

wherein the interface is further'configured to provide obtain the transaction record from

based on a plurality of transaction records.

123. (Currently Amended) The computer program product interface of claim 121,

wherein said item includes an equity, and said interface is further configured to receive a

calculation of a financial performance associated with the transaction record for the

equity.

124. (Currently Amended) The computer program product interface of claim 121,

wherein the item includes an equity, and the transaction record is retrievable based on a

financial performance of the equity.

125. (Cancelled)

126. (Currently Amended) The computer program product interface of claim 122,

wherein said interface is further configured to provide an indicator associated with a

course of action for a future transaction based on the transaction record.

127. (Currently Amended) The computer program product interface of claim 121,

wherein said first subjective information parameter is associated with a drag and drop

element for the placement of the first subjective information parameter along the range.

128. (Currently Amended) The computer program product interface of claim 121,

wherein said first subjective information parameter associated with the first rationale for

engaging in said transaction comprises a reason, motivation, or basis for engaging in said

transaction.

129. (Currently Amended) The computer program product interface of claim 121, wherein said item includes an equity, and said first subjective information parameter associated with the first rationale for engaging in said transaction comprises at least one of the following items of information: (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; or (d) a source of said first rationale.

130. (Cancelled)

131. (Cancelled)

132. (Currently Amended) The computer program product interface of claim 121, wherein said interface is implemented in Java programming language, and is executable from a website within an Internet browser.

133. (Currently Amended) The computer program product interface of claim 121, wherein said interface is further configured to receive additional user transaction information, including one or more of new insights, understandings or lessons from said transaction.

134. (Currently Amended) The computer program product interface of claim 121, wherein said interface is further configured to receive a purchase/sale price associated with said transaction.

135-138. (Cancelled)

139. (Previously Presented) A method for creating a transaction record comprising:

entering an identification of an item associated with a transaction;

placing a first subjective information parameter associated with a first rationale for engaging in said transaction along a range displayed within a graphical user interface, the first subjective information parameter including a first graphical element that is movable within the graphical user interface and relative to the range;

placing a second subjective information parameter associated with a second rationale for engaging in said transaction along the range, the second subjective information parameter including a second graphical element that is movable within the graphical user interface and relative to the range; and

storing the placement of the first subjective information parameter along the range relative to the placement of the second subjective information parameter along the range in the transaction record.

140. (Previously Presented) The method of claim 139, wherein the item includes an equity, and further comprising:

retrieving the transaction record within a query interface by specifying any one or more of a particular user, a predefined user-subjective rationale, a predefined technical indicator, a predefined third party opinion, or a predefined source of said subjective rationale, said technical indicator, or said third party opinion.

141. (Currently Amended) The method of claim 139 further comprising:

entering a sale or purchase date for said an equity associated with said transaction; and

entering a price associated with said transaction.

142. (Previously Presented) The method of claim 139 further comprising entering lessons or understandings associated with said transaction record.

143. (Previously Presented) The method of claim 142 further comprising placing one or more icons associated with said lessons or understandings associated with said transaction record along the range.

144. (Previously Presented) The method of claim 142 further comprising determining one or more of a usefulness of a user-subjective rationale, a technical indicator, a third party opinion, or a source of said subjective rationale, said technical indicator, or said third party opinion.

145. (Cancelled)

146. (Cancelled)

147. (Previously Presented) The method of claim 139 wherein the placing a first subjective information parameter associated with a first rationale for engaging in said transaction along a range comprises:

      placing the first subjective information parameter associated with the first rationale for engaging in said transaction along the range, wherein the first subjective information parameter associated with the first rationale for engaging in said transaction comprises a reason, motivation, or basis for engaging in said transaction.

148. (Currently Amended) A computer-readable medium including instructions embodied thereon that, if executed, cause a data processing apparatus to:

      receive an identification of an item associated with a transaction;

      receive a placement of a first subjective information parameter along a range

          displayed within ~~the~~ a user interface, the first subjective information

          parameter being associated with a first rationale for engaging in said

transaction and including a first graphical element that is movable within

the user interface and relative to the range;

receive a placement of a second subjective information parameter along the range,

the second subjective information parameter being associated with a

second rationale for engaging in said transaction and including a second

graphical element that is movable within the user interface and relative to

the first graphical element and to the range; and

store a transaction record that identifies the placement of the first subjective

information parameter along the range relative to the placement of the

second subjective information parameter along the range.

149. (Previously Presented) The computer-readable medium of claim 148, wherein the instructions are configured to cause the data processing apparatus to generate the transaction record based on a plurality of transaction records.

150. (Currently Amended) The computer-readable medium of claim 148, wherein said item includes an equity, and said transaction interface is further wherein the instructions are configured to cause the data processing apparatus to receive a calculation of a financial performance associated with the transaction record for the equity.

151. (Previously Presented) The computer program product of claim 148, wherein the item includes an equity, and the transaction record is retrievable based on a financial performance of the equity.

152. (Previously Presented) The computer-readable medium of claim 149, wherein the instructions are configured to cause the data processing apparatus to generate an indicator associated with a course of action for a future transaction based on the transaction record.

153. (Previously Presented) The computer-readable medium of claim 148, wherein said first subjective information parameter is associated with a drag and drop element for the placement of the first subjective information parameter along the range.

154. (Previously Presented) The computer-readable medium of claim 148, wherein said first subjective information parameter associated with the first rationale for engaging in said transaction comprises a reason, motivation, or basis for engaging in said transaction.

155. (Currently Amended) The computer-readable medium of claim 148, wherein said item includes an equity, and said first subjective information parameter associated with the first rationale for engaging in said transaction comprises at least one of the following items of information: (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; or (d) a source of said first rationale.

156. (Previously Presented) The computer-readable medium of claim 148, wherein instructions are implemented in Java programming language, and are executable from a website within an Internet browser.

157. (Previously Presented) The computer-readable medium of claim 148, wherein the instructions are configured to cause the data processing apparatus to receive additional user transaction information, including one or more of new insights, understandings or lessons from said transaction.

158. (Previously Presented) The computer-readable medium of claim 148, wherein the instructions are configured to cause the data processing apparatus to receive a purchase/sale price associated with said transaction.

Reasons for Allowance

The following is an examiner's statement of reasons for allowance:

The following is a statement of reasons for the indication of allowable subject matter: the prior art fails to teach or suggest the limitation of independent claims. The Applicant has claims an interface and method for collecting and storing subjective data along a range.

Independent claim 121 discloses an interface for receiving, placing and storing a first and second subjective information along a parameter based upon rationale for engaging in a transaction.

Independent claim 139 discloses a method for receiving, placing and storing a first and second subjective information along a parameter based upon rationale for engaging in a transaction.

Independent claim 148 discloses a computer-readable medium for receiving, placing and storing a first and second subjective information along a parameter based upon rationale for engaging in a transaction.

The following prior art references have been deemed most relevant to the allowed claim(s):

Trojan et al. (U.S. Patent 5,297,032) teaches a workstation for stock traders integrated into a network with a central database. The invention permits tracking of numerous individual stocks, develops trend information, measures the depth of the market and displays in real time select trade support parameters to the trader. The stock trader using the system has the capability of updating the information of the workstation and permits transactions through the dealer network.

   Lozman (U.S. Patent 5,689,651) teaches a system for processing and displaying
financial market data. This system includes a communication device connected to a
computer for receiving financial market data from an external data source. This
invention has a primary and secondary symbol from the financial market data.

   Markese ("Can you trust mutual fund rankings?", by John Markese, Consumers
Research Magazine, October 1993) discloses multiple methods for ranking mutual funds,
a type of security. It also teaches risk ratings and benchmarking. The article focuses of
the difference of various methods for ranking and describes what method various
publication such as Business Week uses.

   Claims 121-124, 126-129, 132-134, 139-144, 147 & 148-158 are allowed because
Trojan, Lozman & Markese references as discussed above as the Closest Prior art of
record fails to teach or suggest a method of **a placement of a first (or second)
subjective information parameter along a range displayed within the user interface,
the first (second) subjective information parameter is inputted from the user from
their rationale for engaging in transaction, the display range element is movable for
the users.**

   Any comments considered necessary by applicant must be submitted no later than
the payment of the issue fee and, to avoid processing delays, should preferably
accompany the issue fee. Such submissions should be clearly labeled "Comments on
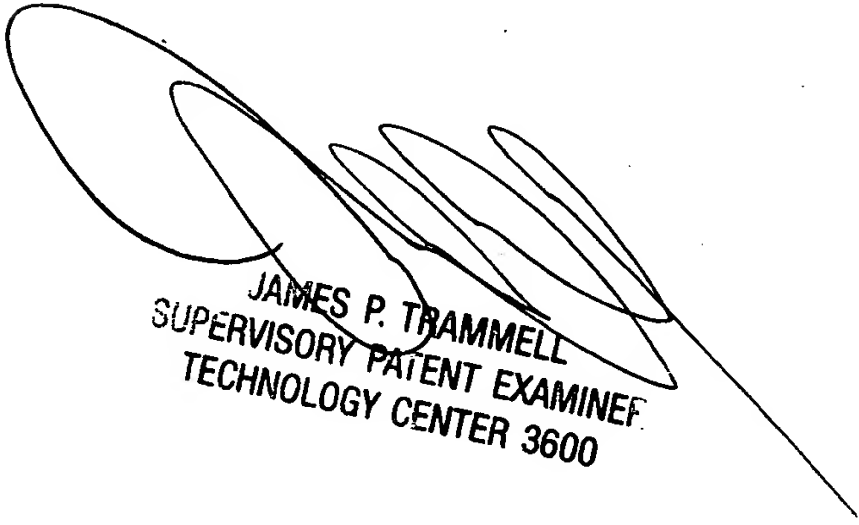Statement of Reasons for Allowance."

Contact Information

   Any inquiry concerning this communication or earlier communications from the
examiner should be directed to Kirsten S. Apple whose telephone number is
571.272.5588. The examiner can normally be reached on Monday - Friday 9:00-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, James Trammell can be reached on 571-272-6712. The fax phone number for

the organization where this application or proceeding is assigned is 571-272-6126.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR. Status

information for unpublished applications is available through Private PAIR only. For

more information about the PAIR system, see http://pair-direct.uspto.gov. Should you

have questions on access to the Private PAIR system, contact the Electronic Business

Center (EBC) at 866-217-9197 (toll-free).

ksa
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